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ABSTRACT

A critical task facing educators is that of uniting those schools that have need of a successful solution to a specific problem with those schools that already have produced such a solution. This guide suggests how practitioners might pursue the problem of sharing educational success in their State. Included are a brief summary of how adoption/adaption might occur, observations on the roles and functions of the originator of a successful practice (the "producer") and the potential "consumer" who has need of a solution to an identified educational need, as well as the individual or agency (the "linker") that brings the two together. The process derived for the sharing of education success is referred to as the "Producer-Linker-Consumer" (P-L-C) strategy. The P-L-C strategy is not intended to be a model, but rather a starting place or a generator of ideas for the practitioner. More help is available from several State educational agencies that are willing to share materials, guides, and other documents about their dissemination/diffusion systems. These tools and agencies are listed in the appendix. (Author/JF)

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SHARING EDUCATIONAL SUCCESS

A Guide For Adoption/Adaptation

EA 006 388

This paper was prepared as a draft for the April 3-5 ESEA Title III Conference in Arlington, Virginia. Committee participants are listed on page 55. Dr. Roscoe Shields, committee chairman, will write the foreword.

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DRAFT
March 22, 1974

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INTRODUCTION

Many successful educational practices have been developed throughout the nation for the purpose of resolving identified learner problems and other problems related to learner needs. Naturally, practitioners are concerned that successful practices which are made available to them have been carefully analyzed and evaluated; they need to judge and determine their worth. The validation handbook (Sharing Educational Success: A Handbook for Validation of Educational Practices, 1974) was created to address this understandable concern.

The present problem is that of sharing educational success. A critical task is that of uniting those schools that have need of a successful solution to a specific problem with those schools that already have produced such a solution. To accomplish this task, some states and local educational agencies have engaged in a variety of activities designed to give information on and to promote the adoption/adaption of proven practices. Others have gone beyond the basics in an attempt to provide the back-up system that is required to accommodate potential "consumer" schools in the adoption process. (See Appendix D for a national profile of activities by state educational agencies.)

A more effective solution to sharing educational success than that which has been demonstrated must be found. Nationally, the extent and quality of adoption/adaption is not well known by practitioners and decision makers at all levels.

This handbook attempts to deal with the problem by translating theory into practice and by providing a guide to dissemination and diffusion. The focus is on how the knowledge of successful educational practices can be used to produce educational renewal and reform.

This guide suggests how practitioners might pursue the problem of sharing educational success in their state. Included are a brief summary of how adoption/adaption might occur, observations on the roles and functions of the originator of a successful practice (the "producer") and the potential "consumer" who has need of a solution to an identified educational need, as well as the individual or agency (the "linker") that brings the two together. The process defined by this book for the sharing of education success is referred to as the "Producer-Linker-Consumer" (P-L-C) strategy.

The P-L-C strategy is not intended to be a model. Hopefully, what is offered will serve as a starting place or a generator of ideas for the practitioner. He will need to extract, enlarge or modify it to suit his own situation. More help is available from several state educational agencies that are willing to share materials, guides and other documents about their dissemination/diffusion systems. (See Appendix B.)

If this publication results in more attention and action in the sharing of educational success, it has accomplished its purpose.

CONCEPTUAL FRAMEWORK: CONCEPTS ABOUT DIFFUSION

It is important for the purpose of this publication to define two often confused terms: dissemination and diffusion.

Dissemination is the act of creating an awareness of and interest in a proven practice (a validated practice or a practice considered to be a worthy solution to a need or problem) among identified audiences. Activities might include: the conduct of Ed/Fairs, traveling seminars, conferences; the production and distribution of printed and audiovisual materials; and interpersonal communication.

Diffusion is the process by which a proven practice or a "problem solution" is spread from the field test (development or demonstration site) to its ultimate users (adopters/adapters). In the diffusion process, the "sender" normally aims the following functions at the potential consumer school:

1. Awareness/interest (dissemination) activities.
2. Visitation/demonstration to establish initial commitment through evaluation.
3. Staff training to prepare for the conduct of a trial field test.
4. Technical assistance for installation.
5. Evaluation to determine the extent of impact (quantity and quality) for the potential consumer.

Diffusion is a much larger concept than dissemination. It requires more planning and a greater allocation of resources. Dissemination is the beginning of the diffusion process, not the end. It does not normally include the "back-up system" needed to accommodate the adoption/adaption requirements of consumer schools.

Individuals or institutions responsible for bringing about educational improvement normally base their activities upon some model, general theory or strategy about how change occurs. A considerable body of knowledge has been acquired over the past 20 years about educational change and the production and use of knowledge. Four major strategies have emerged: "Problem-Solving" (P-S), "Social Interaction" (S-I), "Research, Development, and Diffusion" (RD & D) and, most recently, the operational strategy called the "Producer-Linker-Consumer Concept."

A brief description of each follows:

Problem-Solving (P-S) Strategy[1]--"This orientation rests on the primary assumption that innovation is a part of a problem-solving process which goes on inside the user. Problem-solving is usually seen as a patterned sequence of activities beginning with a need, sensed and articulated by the client, which is translated into a problem statement and diagnosis. With the formulation of a problem statement, the client-user is able to conduct a meaningful search and retrieval of ideas and information which can be used in formulating or selecting the innovation. Finally, the user needs to concern himself with adapting the innovation, trying out and evaluating its effectiveness in satisfying his original need. The focus of this orientation is the user himself, his needs and what he does about satisfying his needs. The role of outsiders is therefore consultative or collaborative. The outside change agent may assist the user either by providing new ideas and innovations specific to the diagnosis or by providing guidance on the process of problem-solving.

"At least five points are generally stressed by advocates of this orientation: first, that user need is the paramount consideration and the only acceptable value-stance for the change agent; second, that diagnosis of need always has to be an integral part of the total process; third, that the outside change agent should be nondirective; rarely, if ever, violating the integrity of the user by placing himself in a directive or expert status; fourth, that the internal resources, i.e., those resources already existing and easily accessible within the client system itself, should always be fully utilized; and fifth, that self-initiated and self-applied innovation will have the strongest user commitment and the best chances for long-term survival."

[1] Havelock, Ronald G. The Change Agent's Guide to Innovation in Education, Englewood Cliffs, N.J.: Educational Technology Publications, Inc.; 1973, 279 pp

Problem-Solving Derivative Strategies:

- System self-renewal
- Action research
- Collaborative action inquiry
- Human relations laboratory
- Consultation
- Sharing of practice innovations

Tactics Associated with P-S Strategies:

- T-Group, Sensitivity Training Group
- Reflection
- Authentic Feedback
- Role Playing
- Group Observation and Process Analysis
- The Derivation Conference
- Survey Feedback
- Brainstorming
- Synectics

Social Interaction (S-I) Strategy Orientation[1]--"A second strategic orientation places emphasis on the patterns by which innovations diffuse through a social system. This perspective, supported by the rich empirical research tradition of rural sociology, views the innovation as something relatively fixed and concrete. Such a presumption makes the phenomena of diffusion more susceptible to quantitative empirical analysis. Usually the "innovation" is a concrete item such as a ferilizer, a new kind of seed, a new drug or a new curriculum package. The overwhelming body of research associated with this social interactionist school tends to support five generalizations about the process of diffusion of innovations: (1) That the individual user or adopter belongs to a network of social relations which largely influences his adoption behavior. (2) That his place in the network (centrality, peripherality, isolation) is a good predictor of his rate of acceptance of new ideas. (3) That informal personal contact is a vital part of the influence and adoption process. (4) That group membership and reference group identifications are major predictors of individual adoption and (5) That the rate of diffusion through a social system follows a predictable S-curve pattern (very slow beginning followed by a period of very rapid diffusion, followed in turn by a long late-adopter or "laggard" period).

"Although the bulk of the evidence comes from rural sociology, these five propositions have been demonstrated in a remarkably wide range of situations in every field of knowledge and using every conceivable adopter unit, including individuals, business firms, school systems and states."

[1] Havelock, Ronald G. The Change Agent's Guide to Innovation in Education.

Social-Interaction Derivative Strategies --"Because of the strong empiricist orientation of the S-I approach, it has generated relatively few explicit strategies or action alternatives. S-I theorists generally prefer to sit back and ponder the 'natural' process without meddling in it. Nevertheless, four quasi-strategies can be identified with this school": Natural Diffusion, Natural Communication Network Utilization, Network Building, and Multiple Media Approaches.

Research, Development and Diffusion (RD &D)[1]--"The most systematic conceptual categorization of processes related to educational innovation is that evolved first by Brickell and later by Clark and Guber under the headings, Research, Development and Diffusion. This orientation is guided by at least five assumptions: (1) It assumes that there should be a rational sequence in the evolution and application of an innovation. This sequence should include research, development and packaging before mass dissemination takes place. (2) It assumes that there has to be planning, usually on a massive scale over a long time span. (3) It assumes that there has to be a division and coordination of labor to accord with the rational sequence and the planning. (4) It makes the assumption of a more-or-less passive but rational consumer who will accept and adopt the innovation if it is offered to him in the right place at the right time and in the right form. (5) The proponents of this viewpoint are willing to accept the fact of high initial development cost prior to any dissemination activity because of the anticipated long-term benefits in efficiency and quality of the innovation and its suitability for mass audience dissemination.

Research, Development, and Diffusion Derivative Strategies:

- Development of High-Performance Products
- Information System Building
- Engineered Diffusion Projects and Programs
- Experimental Social Innovation
- Administered and Legislated Change
- Fait Accompli
- "System Analysis" Approaches to Innovation. (Involves an "ideal model." It may or may not involve the "receiver" performers or their social context. Do not confuse with Problem-Solving cited above.)

Tactics Associated with RD & D Strategies:

- Experimental Demonstration
- Research Evaluation of Adoption Success and Failure
- User Need Surveys
- Successive Approximation
- Translation
- Packaging for Diffusion

Producer-Linker-Consumer (P-L-C) Strategy Orientation -- The Producer-Linker-Consumer strategy combines the three preceding strategies (Problem-Solving, Social-Interaction, and Research, Development and Diffusion) into one powerful vehicle which has the potential of accelerating and expanding the rate of beneficial educational change for students. The strategy utilizes those parts of all three strategies which facilitate the change required in social and educational contexts by producing consumers with alternative solutions that were developed by a variety of producers: R & D Labs, ESEA Title III, ESEA Title IV, and others. The strategy relies heavily upon the local educational agencies' identification of the problem (Problem-Solving Strategy). It incorporates the assumptions and practice of the Social-Interaction Strategy and it utilizes the knowledge produced by research and development laboratories, including derivative-diffusion strategies. It assumes that consumer school funds will be used to the fullest and that federal funding is temporary "seed" money. It is appropriate to note that the Producer-Linker-Consumer Strategy presumes that Consumer Schools will purchase what is needed (materials and services) from the Producer School; the Linker facilitates and helps in this process. Another assumption is that outside funding should or will be provided to the Consumer School, once identified, so that financial capability to purchase materials and services from the Producer School will be established. A third assumption is that Producer Schools will be capable of being responsive to Consumer Schools that have selected their solution as the one they want to try.

In practice, a number of shortcomings identified about these assumptions have been observed:

- The identification and selection of potential Consumer Schools are difficult tasks for a variety of reasons.
- The administration of mini-grants to selected Consumer Schools can be unmanageable.
- Producer School may not be capable of responding to Consumer Schools, particularly after the initial "halo" effect wears off.
- Linkage systems established for the purpose of helping Producers and Consumers find solutions to their problems are not prevalent.

Producer-Linker-Consumer Deriviative Strategies

- Developer - Demonstration Projects
- Adoption Projects
- Statewide Facilitator Projects
- Field Test "Information Packages" Projects

Tactics Associated with Producer-Linker-Consumer Strategies

- Educational Fairs
- Producer School Traveling Seminars
- Diffusion Training Seminars for Producer Schools
- Linker Training Seminars
- Needs Assessment Seminars
- Information Packaging Seminars
- Validation Training Seminars
- Demonstrations for Consumer Schools
- Preservice Training for Consumer Schools
- Inservice Training for Consumer Schools
- Technical Assistance for Consumer Schools
- Impact Assessment

With the advent of developmental and demonstration projects that were field tested in a variety of educational settings (local schools and states under ESEA Title III-fundings, R&D Centers, regional labs), a distinction needs to be made as to how these practices and products fit into the validation process now being tested under ESEA Title III- funding, a preceding companion document.

For purposes of this publication, the following definitions are suggested:

A Developmental Project conducts an "initial field test" of a special solution strategy, created by a local educational agency, that attempts to reduce or eliminate an identified problem in that setting. The practices and materials developed are Initial Producer School products. These products need to be validated, by some process, before they are promoted for adoption/adaption into Initial Consumer Schools.

A Demonstration Project or Site conducts a "secondary field test" of a validated solution strategy, created and tested by an Initial Producer School. The Initial Producer School may become a demonstration site, and an Initial Consumer School may become a Limited Demonstration Site during the secondary trial field test; the

Initial Consumer School may become a Secondary Producer School when the secondary trial field test is successfully completed and validated. The practices and materials might be modified (adapted) during the secondary field test to accommodate local needs and circumstances.

And now, the plot thickens. On the one hand, some theorists and practitioners hold that in order for the Producer School's product (practices and materials) to be used with predictable results and success, the trial field test must be conducted in Consumer Schools that have a very similar profile as that of the Producer Schools: size, socioeconomic factors, resources, student needs and identified problems. Installation must be very similar, if not exactly like that of the Producer School.

On the other hand, some theorists and practitioners hold that it is not essential to match every detail of the Producers School's environmental and operational profile with that of the potential Consumer School. The matching of student needs and the problem to be resolved, followed by a consideration of resources, influences and constraints are essential. Other secondary matching characteristics might be considered, depending on the practice involved. Observers and practitioners of this approach hold that Consumer Schools adopt the concept but often adapt the products because of local circumstances.

A critical question arises: Which approach is most effective, the adoption of alternative solutions of a problem conducted under clinical conditions or the widespread utilization of solutions conducted under practical conditions in a social system that constantly changes? The performers in the linkage system that operates between the Producer and Consumer Schools must address this question. Trade-offs and alternative modes of diffusion strategy might be explored. Hopefully, the reader will find the following section helpful.

OBSERVATIONS AND PRINCIPLES TO CONSIDER

Before designing, developing and implementing a system to promote proven educational practices, a number of assumptions should be made. The following resume of observations and principles could serve as the basis upon which assumptions for the practitioner's system might be made.

I. Observations About the Change Process in Education

A. Change usually occurs slowly. Direction, flexibility, enthusiasm, resourcefulness, patience, persistence, empathy and insight are required as a basis upon which a climate for change is built.

B. The following indicators suggest a climate for change; they can become accelerators or constraints or cause a neutral effect.

- The extent to which there is provision for comprehensive, up-to-date, rapidly available and easy to secure, screened information and the extent to which educators actually use the system.
- The extent to which information is tailored in format and content to the requirements of persons who have different educational roles in the adoption process.
- The extent of identification of the essential conditions for the innovation to succeed and of the unchangeable constraints within the school to avoid maladaptions.
- The extent to which the school district demonstrates "openness" or willingness to perceive problems and to make use of information from outside. There is an open communication by administrators and teachers about task-oriented matters.
- The extent to which commitment and support (social and financial) for high quality educational programs within the community have been demonstrated. Local school programs reflect the prevailing norms of the local school districts, recognizing the possibility to which the need of all members of the community will not be recognized and resolved.

- The degree of flexibility in the school budget.

- A constraint that influences educational change is the pluralistic nature of American education--which appears to conform to American clues and makes the problem of systemwide change slower and more difficult.

- A constraint to educational change is the diffuse, inexplicit nature of educational goals.

C. The following increase the rate of change:

- Problems which cause needs.

- Alternative solutions to alleviate, eliminate or reduce identified problems must be researched, explored, ranked in priority and selected on the basis of benefits and/or consequences.

- Resources must be allocated (re-allocated in many instances).

- Effective personnel, competent in the various areas of tasks required, must be identified and secured.

- Staff must be trained.

- Required materials and equipment must be acquired.

- A management system must be designed.

- An evaluation system must be designed.

D. A willingness to seek solutions, an openness to receive information and a commitment to the identified change must be established before the rate of change can occur faster than has been generally observed and experienced in the field of education.

E. Evaluation findings are useful to the educational community only if they contain the kinds of information that practitioners need in order to make decisions about the feasibility of using them in their own schools.

F. One of the most powerful predictors of adoption of an innovation is its relative advantage over current practice.

G. The means of funding can be a powerful influence in fostering educational change.

H. Legislation can be a powerful influence in fostering educational change.

I. Educational changes are rarely limited to "things," but are usually "people changes." Whereas most innovations in medicine and industry simply displace one product or practice with a newer, better one, education has not followed suit in the area of change.

J. In the end, authentic personal relationships supersede other transactions in the formulation and implementation of lasting observable change.

K. Early potential adopters (consumer schools) of solutions to an educational problem may have partially identified their problem, but require some degree of help.

L. Early adopters (consumer schools) will possess many of the components required for a climate to change; further development is often required by the linker and the producer school.

M. The educational community has a strong desire to know about alternative solutions to educational needs/problems and ideas that work.

N. Potential adopters (consumer schools) can "turn-on" at any time; similarly, they may reject the solution at any time for a variety of reasons. (If they "turn-off," try to find out why.)

O. Early adopters of solutions to educational problems frequently adopt the concept; they adapt the program for a variety of reasons, one of which is the "Who's the Greatest?" dynamics. Early adopters often feel a competition for status in educational circles and in their societal context. The adopter/adapter has a need to identify with the solution; he often needs to feel the pride of ownership. This need can be fulfilled through opportunities for involvement and a willingness to allow him to modify and adapt the solution to fit his social/educational contexts, internal and external.

II. Principles of Communication and Diffusion

In addition to the preceding lists of observations, the following list of principles of communication and diffusion may serve as the basis for a statewide dissemination/diffusion system.

A. Change in attitude is more likely to occur when the message comes from a source which the receiver believes is highly credible, i.e., expert and trustworthy.

B. The receiver is more motivated to seek and accept advice from credible sources when the situation at hand requires finer discriminations than he is capable of, or when a situation demands specialized information not at his disposal.

C. Verbal or nonverbal communications between individuals are more effective than mass media channels in persuasion and in changing deeply held attitudes and beliefs.

D. Mass media communication channels are most important at the knowledge stage, whereas interpersonal channels are most important at the persuasion stage in the innovation-decision process.

E. Communication channels that allow for two-way rather than one-way flow are more effective because they provide feedback.

F. Communication is more successful when it is receiver-oriented than when it is source-oriented.

G. Communication that gives the receiver a sense of participation in the planning and decision making process is more likely to be effective. Audience involvement tends to ensure the acceptance of the message.

H. Communication in formal organization tends to be horizontal rather than vertical.

I. The flow of vertical communication in formal organizations tends to be downward rather than upward.

J. Change information is likely to spread more rapidly through informal communication channels than through formal channels. (Communication channels in formal organizations often serve only to confirm messages that already have diffused through informal channels.)

K. Diffusion patterns in a modern system more often flow between heterogeneous sources and receivers; in more traditional systems the diffusion patterns more often flow between homogeneous pairs. (For example, low status sources talk to low status receivers; teachers talk to teachers, etc.)

L. In modern systems the members are more closely related in interpersonal communication channels than they are in more traditional systems.

M. The emotional reaction which accompanies the announcement of a threatening or pessimistic event can be reduced by messages which discuss the event in advance of its happening.

N. Receivers with high intelligence are influenced less than those with low intelligence when exposed to persuasive communications which rely primarily on unsupported generalities or false, illogical and irrelevant arguments.

O. The rate of adoption of a new idea is related positively to its compatibility with

   1. previous ideas
   2. individuals' values
   3. receivers' needs, as perceived by members of a social system.

P. The less complex an innovation appears to a potential adopter, the faster its rate of adoption.

Q. The more easily an innovation can be communicated and the more visible the positive results of its use, the faster its rate of adoption.

R. A crisis emphasizes the relative advantage of an innovation and speeds its rate of adoption.

S. The relative advantage of a new idea, as perceived by members of a social system, is related positively to its rate of adoption.

T. The easier it is for individuals to try an innovation on a limited basis (trial), the faster its rate of adoption.

U. Earlier adopters are less dogmatic than later adopters because their belief systems are more open.

V. The extent of promotional efforts by change agents is related directly to the rate of adoption of an innovation.

W. Messages are more effective when they appeal to more than one of the senses.

X. The "soft sell" approach is more effective than "hard sell" in interpersonal relationships.

Note: Much of the above information was drawn from the work of Everett M. Rogers and Lynn Svenning (Managing Change). In addition, some resulted from on-the-job observations of practitioners.

'Who's the Greatest': A Powerful Force

One of the most powerful forces involved in educational change is the "Who's the Greatest" dynamics. The performers involved in the change process have need of various rewards; usually not money, but recognition, praise or identification with potential success in their system. The early adopters in Consumer Schools are often high risk-taking persons who have need of high gain or reward.

The "Who's the Greatest" dynamics usually constrict an educational system and behavior becomes a negative force. However, the "Who's the Greatest" dynamics can be utilized to become a positive force if "double pay-offs" are made available in the system.

Simple example:

The superintendent of an elementary school district wants to install a particular reading management system that is supplementary to the present reading program. If he "lays it on" the principals and teachers, he will surely produce some, if not great, resistance. On the other hand, if he extends praise or rewards in the form of paid-for study about the reading program, he may help to foster acceptance. In any event, consumers, particularly early adapters, must be allowed to change (adapt) the management system by the consumers or they probably will not play the high risk game of bringing a new program into the school. They need to establish "ownership."

Superintendents, principals and teachers are primary linkers; they play the "linker game" only to the extent that there's "something" in it for them. One of the change agent's jobs is to determine the "pay-off" and to realize it is not prudent to force adoption. Adoption of the concept and adaption of the program (components) are what generally happens, contrary to the belief of theorists who proclaim installation at the consumer site should be very similar, if not exactly that of the producer site.

The above example refers specifically to consumer/linkers; the people that plug in the practice. However, the "dynamics" are ever-present, at all levels.

ASSUMPTIONS ABOUT PRODUCERS, LINKERS AND CONSUMERS

The following assumptions were suggested by practitioners. The lists are not complete; they are not intended to be complete. The reader is invited to formulate additional assumptions; he may choose to reject some that are shared below. It is recognized that some statements could logically appear on more than one list, depending on the reader's point of view.

I. Assumptions about Producer Schools

A. The selected solution (proven practice) is needed by many consumer schools.

B. An innovative practice or product is developed to solve an educational problem which contributed to the existence and persistence of specific learner needs.

C. The "success" of an innovative practice or product must be based upon the reduction or resolution of the learner needs addressed, the satisfaction of the users and the efficiency with which resources are consumed.

D. The practice has been either validated or carefully evaluated by some other process.

E. The proven practice to be diffused by the Producer School is:

- Communicable
- Effective (makes a difference with learners)
- Replicable
- Adaptable
- Feasible
- Capable of replacing present practice; under certain conditions, it might supplement present practice.

F. Those innovative practices/products which are found to be successful in resolving learner needs and in efficiently using resources should be made available to other schools and districts where similar learner needs and problems exist.

G. The producer or successful adopter of a practice or product should demonstrate it to a potential consumer.

H. The potential talent required to effectively communicate on an interpersonal basis is present or available.

I. The resources (time, talent and money) are provided to conduct those activities required by the potential consumer client.

J. Other schools and districts must identify and analyze learner needs and problems before adopting, adapting or developing solutions.

II. Assumptions about Linkage Units and Systems

A. Linkage agents, units and systems are required if the education for students is to be improved in a systematic manner.

B. Linkage units and systems serve as an educational conduit for communication and potential interaction between producers and consumers.

C. Linkage units and systems might include schools, school districts, state educational agencies, including intermediate educational agencies, colleges and universities; national educational agencies, including the U.S. Office of Education (USOE) and the National Institute of Education (NIE); and a wide variety of consortia arrangements.

D. Linkage units and systems may be disseminators of information or diffusers of proven practices or both.

E. A linkage system between producers and consumers should facilitate:

1. The establishment of successful practices and products.
2. Collecting successful practices and products in an information repository.
3. Making the information repository available to potential consumers.
4. Matching the change requirements of consumer's problems to the characteristics of existing solutions.
5. Providing the opportunity for potential consumers to witness the on-site demonstration of practices and products before a selection is made.

F. When an adoption occurs, the linkage system should determine the extent to which the adopter achieved success in resolving the need and the problem.

G. Adoption should be followed by an investigation to determine the exportability of practices and products.

H. Products and practices contained in the information repository which are not successful for adoptors must be withheld until modification demonstrates success or else the practice or product should be eliminated from the information repository.

III. Assumptions about Consumer Schools

A. In order to adopt or adapt an existing solution, a consumer school or district must:

1. Know its needs, problems, and change requirements.
2. Be willing to search for an existing validated solution.
3. Be willing to adopt or adapt a validated solution if one is found.
4. Be willing to redistribute existing resources, if necessary, to adopt or adapt the solution.

B. When a consumer school or district searches for a solution to an identified problem, the consumer must have access to a collection of successful practices and products for examination and consideration before making a decision.

C. The selection of a solution (successful practice or product) by a consumer must be guided by the learner need, problem and change requirements.

D. Selection of a given solution depends upon the extent to which congruence can be established between the change requirements of the consumer's problem and the characteristics of available solutions.

E. When a consumer selects a successful practice or product for adoption or adaption, he must be provided the following services in order to install it: access to pre-packaged ingredients of the practice or product; preservice training to learn how to install and operate it; inservice technical support to detect/correct problems in operating it.

F. The more innovative the adopter, the more likely he is to use technical information sources; the less innovative, the more heavily he will rely on interpersonal communications, particularly with individuals he knows and believes to have more expert knowledge.

G. Consumer clients that have need of a solution will respond best to those persons they trust and are available to provide empathy and competent support.

H. Most educational changes are not simple adoptions of a solution developed elsewhere, but are adaptations of the school to the innovation and of the innovation to the school.

I. Unless the superintendent, who can allocate resources and provide rewards for innovative behavior, is supportive of an innovation, it usually will not be installed or institutionalized. Efforts must be made to communicate with and assist those decision makers and implementers at other levels who are necessary participants in the adoption process. If such assistance is not provided, the superintendent (decision makers) will not have support for the leadership he may wish to provide.

J. Most superintendents (decision makers) will not attempt to introduce an innovation (proven practice) unless they have some opportunity for person-to-person or on-site evaluation of the new practice.

K. An innovative program which involves the use of local money (resources) from the beginning is more likely to be installed than one which received full funding from outside sources.

L. Producers communicate through verbal and nonverbal means both positive and negative messages, e.g., they are sincere, concerned, willing to assist,empathetic. Negatively, they can communicate to the consumer an atmosphere of insincerity, "We're the Greatest" or "Pushism."

THE PRODUCER-LINKER-CONSUMER SYSTEM

Following are the major components and elements of the Producer-Linker-Consumer strategy (P-L-C), including the relationships, explanations and operational suggestions.

Multi-Unit Relationships

A cube design with several grid levels that depict the conceptual framework for the Producer-Linker-Consumer Strategy is shown in Figure 1. Potential relationships are highlighted. (See page 20a.)

Upon careful analysis of Figure 1, the reader will recognize the complexity of the system with which educators are attempting to deal. When manifold components and elements are mixed with the potential, the variety of unifying patterns or arrangements that result can be overwhelming. When the reader considers further that the three strategy orientations presented in the section on "Conceptual Framework: Concepts about Diffusion," are not mixed within the cube, the increased complexity and potenial could boggle the mind.

The following explanation of Figure 1 is intended to be suggestive and to serve as a guide and resource. This section does not intend to prescribe what the practitioner's part in the drama of educational

FIGURE 1

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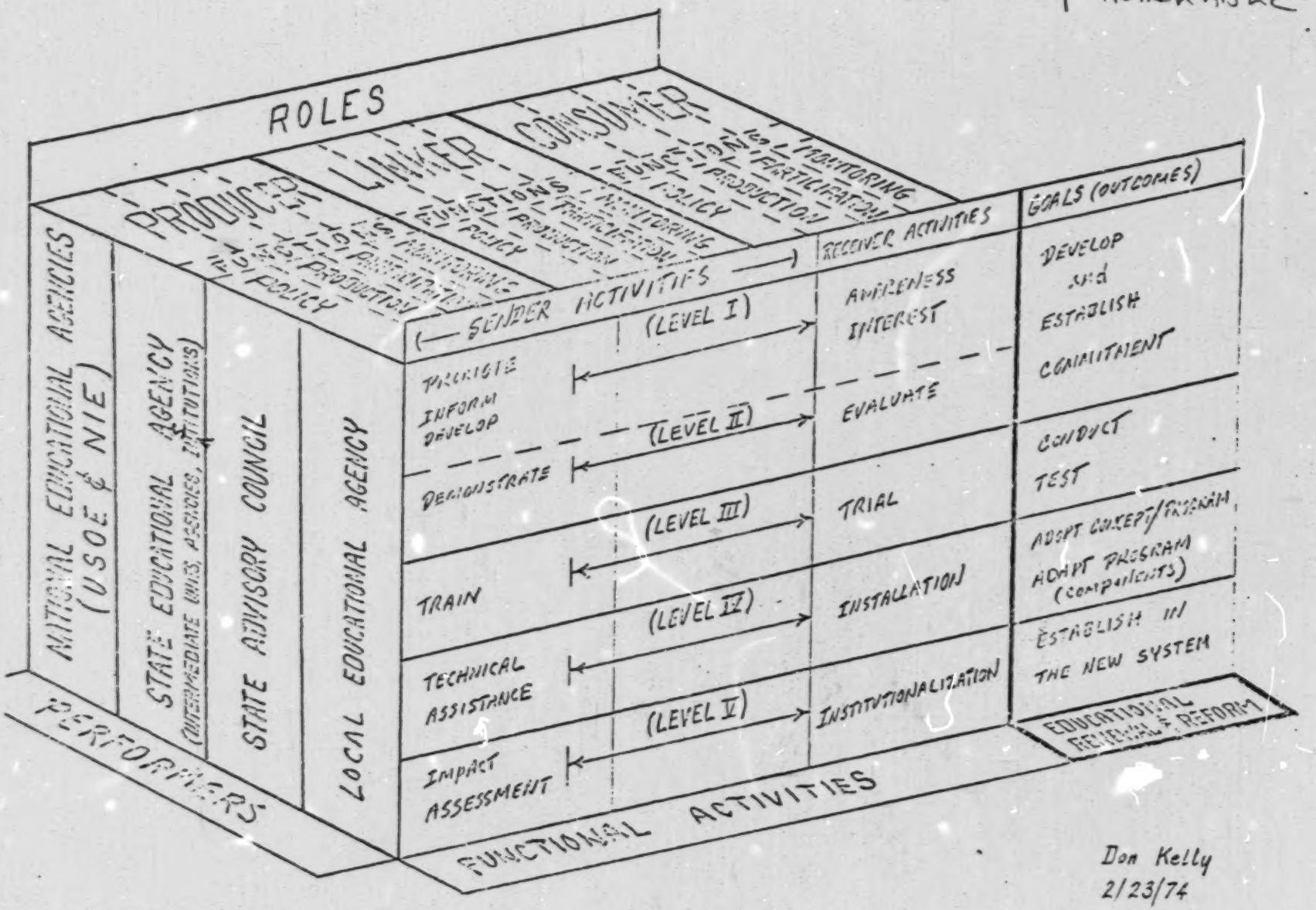

Don Kelly
2/23/74

POTENTIAL PRODUCER-LINKER-CONSUMER RELATIONSHIPS:

A Multi-Unit Relationship

change is, only to suggest what it might be within his social and educational contexts. The influences, barriers and resources may vary greatly from city to city and state to state.

I. Goals of the Producer-Linker-Consumer Strategy

The Goals of the Producer-Linker-Consumer Strategy are the outcomes that can be observed and documented in Consumer School performance:

Levels I & II: Develop and establish commitment for a trial field test.

Level III: Conduct trial field test.

Level IV: Install the adoption of the concept or program or the adaption of program components.

Level V: Establish the institutionalization of the practice in the educational system.

Level VI: Develop the capability for educational renewal and reform.

II. The Performers

The potential performers in the producer-linker-consumer process are the Local Educational Agency, the State Advisory Council, the State Educational Agency and their supporting intermediate units, agencies and institutions (colleges and universities) and national educational agencies, including USOE and NIE.

The people in the agencies, councils and units hold the key to the "Sharing of Educational Success" that leads to "Building Renewal and Reform." They make it all happen... or not happen. Granted, the performance of these people will vary according to the part they play, their personal commitment and energy, the many constraints they may face in their social and educational system, the resources they have at their disposal and their knowledge and experience.

III. The Roles of the Performers

There are three major roles for performers: the producer (school) role, the linker role and the consumer (school) role. Some performers may choose only one role, some may play two roles at one time, others may participate in all three roles simultaneously. To assume that the SEA always assumes the role of the linker and the LEA the role of the producer is to constrict unnecessarily the potential that exists in the P-L-C Strategy.

Each term and role is described below:

The Producer School is a school with a validated practice that has been established as a demonstration site. The demonstration site may be that of an Initial Producer School where a development field test of a solution created by the school was conducted and successfully completed; it may be that of a Secondary Producer School where a demonstration field test of an Initial Producer School's product was successfully conducted.

In either case, the following are common denominators of a producer school: It has completed successful field testing; it has validated evaluation results; it has a product (concept/practice/materials) that is cost-effective and potentially exportable to other schools; it has been provided the resources required to promote the adoption/adaption of the proven practice.

The role of the producer, then, is one of advocacy and promotion. In carrying out the role, it may provide the following: help, assistance, trust, support, service, and responsiveness to consumer school needs.

The Consumer School is a school which meets identified needs by adopting/adapting a validated practice from a producer school. An Initial Consumer School may become a demonstration school for a developmental practice, such as that produced by an Initial Producer School; in which case, the Initial Consumer School also should be validated before the promotion for adoption/adaption into Secondary Consumer Schools begins.

The role of the consumer, then, is one of identifying needs and causative problems, actively seeking solutions to critical problems from a variety of resources in an environment of openness, trust, sincerity, empathy for students, and flexibility.

The Linker is a person, a group or an agency that encourages and facilitiates interpersonal relationships between the Producer and Consumer Schools. He may also assist the Producer School with the development and production of required materials or he may produce them. He may assist with the development of training materials or he may be involved in conducting the following activities at several levels: secondary awareness, visitation/demonstration, preservice training and technical assistance for implementation, including inservice training. The Linker may assist Consumer Schools in refining their needs assessment and identifying critical problems. He should assist the consumer in securing alternative solutions to learner problems.

The Broker is a Linker who, according to dictionary definition, is an agent who negotiates contracts for purchase or sale; he charges a fee or commission for services rendered. The Brokerage Concept implies that a person, agency or institution becomes a "middle man" in the process of bringing Producers and Consumers together.

Some observers think that the Brokerage Concept does not imply providing or securing funds for either the Producer or Consumer and that it does not imply participation in the Producer or Consumer's Roles of policy, production, and monitoring, which are discussed later in this section. Although examples cited throughout this section suggest that the Brokerage Concept is a Linkage Role Function (participation); the Linkage Concept is a much

broader concept that potentially involves a great number and variety of unique relationships.

The Linkage System is a group of individuals, organizations or agencies that establishes multi-level relationships for the purpose of fostering and encouraging educational change pursuant to learner needs and problems. Through an extension and rational division of labor that is dedicated to the complex task of building capacity for educational renewal and reform, the Linkage System becomes a unifying force. It uses the P-S, S-I, and RD&D strategies as needed.

The role of the Linker,then, is one of becoming a resource to the Consumer School, capable of helping with initial problem-solving activities and culminating with the provision of alternative solutions. The Linker sends and receives problem/solution messages. The Linker assists the Producer and Consumer through those facilitating and enabling behaviors required in the conduct of the Functional "Sender/Receiver" Activities shown in Figure 1.

Operational Examples:

Example 1: The SEA may select an LEA to become a Producer School; the SEA assumes the role of the Linker to the LEA (the consumer).

Example 2: The SEA may select an LEA to become a Consumer School; the SEA assumes the role of the Linker to the Producer School, an LEA.

Example 3: The SEA may assume the role of the Producer and Linker to the Consumer School, an LEA.

Example 4: The SEA may assume the role of the Consumer and Linker to a Producer School, an SEA in another state.

Example 5: The SEA (Linker) may identify and establish three intermediate unit linkers within the state and provide Producer Schools (LEA's) to the Linkers who help Consumer Schools, LEA's and other Linkers (other internal units).

Example 6: The SEA and an LEA may assume Shared Producer and Linker Roles; the Consumer is an LEA.

Example 7: The SEA and a LEA may assume Shared Initial Producer and Linker Roles; after initial linkage has been established, the SEA abandons the role and the Producer School assumes the full Producer and Linker roles to the consumer, an LEA.

As illustrated above, the "variations on a theme" could be almost endless when the national educational agencies and state advisory councils are mixed into the composition.

IV. Functions and Operational Suggestions

The major functions of each of the three roles (Producer, Linker, Consumer) are four:

- Policy making.
- Production.
- Participating.
- Monitoring.

POLICY MAKING is the act of defining a course of action selected from among alternatives and in light of given conditions to guide and determine present and future decisions. Policy making is an essential first step toward action because it signals the intent and commitment of decision makers, hopefully at high levels. "Verbal" policy, however, is not very binding at any level. Written policy also may be subject to revision or withdrawal. Nonetheless, policy in whatever form, is much better than no policy.

Suggestions for Policy Making:

- Producer Policy should relate at least to matters of willingness to: share the educational success and participate in the diffusion program, provide some resources, receive high visibility, accommodate visitors for demonstrations and training, allow staff to travel to consumer schools, participate in

conferences and traveling seminars, produce required materials with financial support, conduct monitoring activities to assure quality control.

- Linker Policy should relate to matters of establishing, maintaining and building linkage systems, parameters of services and under what conditions, the provision of required resources, the production of materials, the extent of participation, and the extent and depth of monitoring activities, including impact assessment.

- Consumer Policy should relate to: matters of conducting needs assessment and identifying critical problems, seeking alternative solutions, willingness to risk a trial field test, willingness to allocate required resources for the purpose of involving staff in the diffusion process, producing those materials required, monitoring activities for quality control.

PRODUCTION is the process of creating what is required. Production could include everything from full packaging of Producer School products at three or four levels (See Figure 1) to films, slide/tapes at various levels to awareness level brochures. Production can also include designing and planning that which may be required for traveling seminars, education fairs, diffusion training seminars, Linker training seminars, needs assessment/problem analysis seminars, validation training seminars, demonstrations, preservice training, inservice training seminars and impact assessment (training and conduct).

Observers report that a major weakness in production is the capability of the educational system to produce those materials and services required for consumer schools when they are needed. Possible solutions could include the assignment of production specialists when they are needed: Audiovisual technicians/

specialists, writers and educational technologists are available. Another way to overcome weaknesses in the system may be the reallocation of resources to allow for production of materials and services.

Suggestions for Production:

- Producer Production should include participation in preparing awareness level brochures, slide/tape presentations and ancillary materials; the Producer School might become the sole producer or it might require assistance, if not full support. The Producer School should actually produce the following materials, if possible or at least be involved in their preparation: secondary awareness package, visitation/demonstration package, preservice package and inservice package.

- Linker Production should include the initiation, technical assistance, facilitation and creation of printed and audiovisual products for linker/sender activities that lead to activities and action by the receiver. Although linker production may be a function that is shared among the Producer and the Consumer, many variations are possible depending on the practice involved, the audience and level of diffusion and the media selected.

- Consumer Production should include whatever is required for the trial, installation and institutionalization of receiver activities. Examples include communications to peers and decision makers, copying required materials and producing modified materials.

PARTICIPATION is the act of taking part or being related to a larger whole through active involvement. Participation could include direct or indirect engagement in policy making, production activities, or monitoring activities. Participation could include active or passive involvement in the diffusion process or sender and receiver activities (See Figure 1). Participation could demonstrate the level of commit-

ment toward an activity. It is essential if the performers are to fulfill their roles. Participation by agencies signals how their leadership role is viewed internally. Lack of participation sends a big message: "I don't need it," "I'm not interested," "I don't like you," "You're not worth it."

Suggestions for Participation:

- Producer Participation should include involvement in the production of materials required for the sender/functional activities. Active involvement in the service components of these activities is highly desirable, if not essential. Participation may be coordinated, shared with the linker, or independent. It may begin in a coordinated and shared manner during the first sender activities and later changed so that the Producer becomes the sole active participant, with the linker assuming a passive role.

- Linker Participation should include active involvement in designing, administering and managing high visibility activities for the purpose of rapidly working through the initial sender activities. The Linker becomes a conduit through which problem/solution messages may be sent, particularly during the phase of early activity. At a later stage, messages are exchanged directly by producer and consumer, and the Linker assumes a generally passive role. However, the linker should be active and involved during the assessment phase.

- Consumer Participation should include involvement in problem-solving activities, particularly those related to seeking and selecting solutions. Active participation in the receiver's activities is essential; as is sending feedback to the Producer School and possibly the Linker.

MONITORING is a means of checking for quality or fidelity. Although monitoring has some negative connotations in educational circles; it can be a positive force if its purpose is seen by the one being monitored as that of providing authentic help

and support. Monitoring requires some risk taking for those who might be responsible for subordinate actions. It does provide an opportunity to "break open" the human potential that lies bound by the system. It does give educators a chance to practice what they preach about empathy, sincerity and trust.

Some kind of monitoring system is required for each performer involved in the producer-linker-consumer process. A legitimate need to insure quality control is ever present. An alternative to monitoring may be a practice of getting all who are involved to agree to the goals' objective. In any case, expectation levels should be aligned before any action takes place, not afterwards.

Suggestions for Monitoring

- Producer Monitoring should include formal and informal evaluation activities at the consumer site, with feedback to the monitor and the consumer; collecting and recording hard data and observations for quantitative and qualitative reporting to the Linker. Assistance from the Linker or outside resources might be required for qualitative reporting. If the Producer School is an Initial Producer School, this function should receive considerable attention.

- Linker Monitoring should include formal and informal evaluation of Producer and Consumer activities, particularly those of the Producer that assumes the increased role as a Linker after initial awareness activities and ultimately with the quantity and quality of adoption/adaption in new educational settings.

- Consumer Monitoring should include formal and informal feedback during the trial and installation phases about what is happening. Is the solution beginning to solve the identified problem or is the problem getting worse? It should include collecting and recording data and reporting it to the Producer School.

V. The Performers, Role Assumption and Role Functions

The relationship of Performers to Roles and Role Functions could vary considerably, particularly from state to state and within a state for a variety of circumstances: social and educational context influences, geographic considerations, resource allocation and potential availability, and commitment to a process of meeting needs or resolving problems.

Three examples of different relationships of Performers to Roles and Role Functions

Example 1: An LEA assumes the Producer Role.
The SEA assumes the Linker Role.
The role functions are assumed with each role as described above. (See Figure 1).

Example 2: An LEA and the SEA assume the Producer Role.
The SEA and national educational agencies assume the Linker Role.
The role functions for the Producer and Linker are individual and shared: Each establishes individual policy; They share production and participation functions; They do individual monitoring.
The Role Functions for the Consumer School are not shared.

Example 3: An intermediate unit (agency) assumes the Producer Role.
An LEA assumes the Linker Role (statewide facilitator).
An SEA in another state assumes the Consumer Role.
The Role Functions for the Producer and Linker are individual and shared:

they share common policy; each produces his own materials; they share the participation function; each monitors separately.

The Role Functions for the Consumer are individual and shared with the Linker: individual policy, individual production, shared participation, shared monitoring.

VI. Functional Activities: Performers and Roles

In this section, the roles will be identified and discussed briefly where appropriate; the functional activities will receive considerable attention. Referring again to Figure 1, the reader will observe that the relationships between role and functional activity are as follows:

- Producer

  ..Promote, inform, develop
  ..Demonstrate
  ..Train
  ..Provide technical assistance
  ..Impart assessment

- Linker

  ..Promote, inform, develop
  ..Demonstrate
  ..Train
  ..Provide technical assistance
  ..Impart assessment

- Consumer

  ..Awareness, interest
  ..Evaluate
  ..Trail
  ..Installation
  ..Internalization/Institutionalization

A number of major questions about functional activities must be resolved before action begins:

- Who will play the Producer and Linker roles?
- Who will assume the Role Functions: individually, shared: What will the relationship be?
- Who will conduct the functional activities: individually, shared?
- Who will finance the functional activities: how?
- How much impact is expected at the various functional activity levels, including quantity and quality of adoption/adaption?
- What will be the time-frame for activities?

Suggestions for Functional Activities:

Consumer School Funding

Problem: The Producer or Linker may not have the capacity to be responsive to potential consumer clients.

Suggested Solution: The national educational agency, SEA or intermediate unit (agency) finances selected consumer schools for the purpose of seeking out and selecting a solution to a problem from alternatives; the Consumer School purchases those materials and services that are required from Producer Schools or Linkers.

Producer School Funding

Problem: The production of a sufficient quantity of materials and the distribution requirements may be more than the Producer School or Linker can handle or the demand for services may exceed Producer School capability.

Suggested Solution: The NEA, SEA or Intermediate Unit (agency) finances the Producer School for the purpose of conducting sender/functional activities (See Figure 1) that initiate receiver activities. The Producer School responds to Consumer School needs for materials and services sometimes free of charge, and sometimes on a fee basis. (See Appendix C for suggested operation.)

Linker Funding

Suggestion: The NEA, SEA or Intermediate Unit (agency) finances the Linker to assist the Consumer School in providing required services and materials. He assists the Producer School in the development and preparation of materials and services. He unites the consumer client with the appropriate Producer School and he services both.

"Variation on a Theme" Funding

Suggestion: The SEA funds several Producer Schools, the national educational agency funds a Linker (statewide facilitator) within the state to be responsive to consumer clients in and out of the state (the SEA may also assume the role of the Linker: and may share roles) and the Consumer School provides funding from local sources or secures funding from national sources, possibly several ESEA titles or other sources such as private enterprise. Colleges and universities might assume a modified Linker Role, perhaps a role that requires little cash outlay.

Functional Activities for Producer Schools

Target: Awareness/Interest Level; Potential Consumer School

The functional activities by the sender, which are designed to promote and inform, are many. Their purpose should be to create an awareness of and stimulate interest in a proven

practice that is an alternative solution to a problem identified by a pctential consumer school.

A few examples of such awareness/interest level activities involving service include:

- Education Fair
- Traveling seminar
- Conducting seminars at state conferences
- Secondary awareness presentations at schools where one or two educators know about the practice but need an expert to make a presentation to their colleagues.

A few examples of awareness/interest level activities regarding materials include:

- Brochures, pamplets and other printed documents
- Mailing materials to potential consumers
- Slide/tape presentations
- Films
- Television: commercial and educational

The service activities involve people; they usually include material products. The material activities may or may not involve people. This is an obvious, but important distinction to make because it could suggest direction when the assumptions suggested earlier in this document are internatized by the Producer and Linker.

Criteria suitable for awareness/interest level activities include: Intelligibility (Is the information clear?); Fidelity (Does the information present a valid picture?); Pervasiveness (Does the information reach all of the intended audiences?); and Impact (Does the information affect key targets appropriately?).

Once the receiver has been sent the initial awareness level messages, a number of things might be anticipated:

The receiver doesn't physically receive the message.
The receiver physically receives the message; he doesn't receive it mentally.
The receiver physically receives the message; he begins to mentally internalize the message.
The receiver physically receives the message; he internalizes the message, and acts or responds for a variety of reasons; most notably, there's "something in it for him."

Upon response from the receiver, the sender conducts additional message sending activities:

1. Personal contact by letter, telephone one-to-one or in seminars.
2. Brochures and other written messages that may be delivered by mail or in person.
3. Combination of activities, such as: educational fairs, traveling seminars, seminars at conferences, secondary awareness.

Suggestions for Awareness/Interest Level Activities

- The Pre-Matching/Rifle Approach: The Linker (SEA) selects potential Consumer Schools through the use of established criteria, matches and provides validated alternative solutions available from the Producer Schools. Awareness/interest level activities are directed toward identified Consumer Schools. In some states, this approach could be very difficult to administer; the number of schools, districts, intermediate units (agencies) and the accuracy of problem identification are major barriers. The potential, however, is one of high efficiency.

- The Self-Filtering Approach: The Linker (SEA) selects a Producer School (LEA) that has a validated solution to an identified problem and actively promotes the Producer School to all potential consumer

schools. Consumer Schools with the greatest need emerge through the sender/receiver activities directed toward awareness/interest and evaluation.

Large states with many schools have two advantages:

1. If Consumer School problems have not been well defined. an opportunity exists to provide planning assistance before a trial field test is conducted and schools with identified problems are not mistakenly overlooked from the sender's point of view.

2. The potential for building capacity for renewal and reform is great, if that capacity has not been established.

Target: Evaluation Level; Potential Consumer School

In practice, the potential Consumer evaluates from the time he receives the first message. Evaluation at this level is concerned with the establishment of credibility of the concept/practice/product: "Seeing Is Believing." To assist in this process, demonstrations are useful activities. Demonstrations may be conducted at: a producer demonstration site or center, a regional center (Linker), an intermediate unit or agency site (Linker), or a consumer site.

To be effective, demonstrations of proven practices must meet the test of credibility, convenience and exportability. Credibility is established when it is shown that valid evidence exists regarding a program's effectiveness. A demonstration is convenient when it is easily accessible in terms of time and location. Exportability is the extent

to which a solution demonstrates relative advantage over present instructional programs: It is economically feasible, replicable, adaptable, communicable, effective and available.

Both the awareness/interest and evaluation levels are directed by the sender(s) to the receiver for the purpose of developing and establishing sufficient commitment within the Consumer School to "justify" a trial field test. Justification implies that the Producer School or Linker, before engaging in training activities, needs to access the extent to which the Consumer School has: considered the selection of the solution from among several alternatives; analyzed the level to which congruence can be expected between the change requirements and the characteristics of the solution; and established commitment among the staff members who will conduct the trial field test.

Target: Trial Level; Potential Consumer School

When commitment toward adoption/adaption has been established and the potential for the achievement of expectation levels associated with selected solution have been assessed, the stage is set to begin a trial field test. Producers and linkers should always insist upon a trial test before full-scale adoption/adaption is undertaken. "Start small, see if it works." Generally, the trial field test will be conducted in one or two classrooms, one of several schools in a district, only primary grades in one school, etc., depending on the problem and nature of the selected solution/practice.

For most proven practices, some kind of preservice training for staff in the consumer school is required. The staff may include teachers, principals, the superintendent and governing board members. The training may be conducted at:

- The Consumer School (LEA, Intermediate) site by the Producer School (LEA - Intermediate)
- The Consumer School site by the Linker (LEA, SEA, Intermediate)
- An Intermediate unit (agency) site by the Producer School (LEA - Intermediate)
- The Producer School (LEA) site by the Producer School
- An Intermediate unit (agency) site by the Linker (LEA, SEA, Intermediate)
- All of the above sites by an Initial Consumer School that has assumed the role of a Secondary Producer.

The packages of materials, services offered, length of training, the number trained, number of trainers and the place of training will vary greatly according to the complexity of the practice (solution), resources, geography, social and educational contexts.

The training activity should feature a "hands-on" experience for Consumer School staff. It should be practical and of immediate use to them. While all kinds of written and audiovisual materials might be utilized to inform, demonstrate and assist with the process; effective interpersonal relationship is essential.

Target: Installation; Consumer School

Once the trial field test has been successfully completed, the Consumer School is ready for installation, i. e., adopting the practice as field tested in the trial. Since the practice is often modified during the trial in order to accommodate local circumstances, it would follow that the consumer might adopt their adaption of the practice. Observers report that early adopters usually adopt the concept, and they adapt the program components.

Conversely, the decision to install the practice may be negative from the Consumer School's point of view for several reasons:

- "It didn't make a difference."
- "We can't afford the installation, even with a reallocation of resources."
- "We've been had!" (Either the Producer School didn't perform or was unresponsive with the time, talent, quality of service and materials that were needed, or The Linker got in the way or was unresponsive with the time, talent, quality of service and materials that were needed.

Technical assistance for implementation and installation is often required, if the practice is to receive acceptance. Technical assistance may include: inservice training; trouble shooting; problem solving; support activities, e.g., explaining the practice to the governing board or community groups; preservice training for second-

ary adoption in the system; monitoring to determine the quality of learner achievement.

Target: Institutionalization; Consumer School

The adoption of a proven practice should be followed, within the period of about one year, by an Impact Assessment designed to determine the quality of the installation. The assessment should be conducted before institutionalizing the practice.

The Impact Assessment might include: a variety of appropriate tests for learners; a survey or questionnaire to get feedback from students, teachers, administrators, and community groups, particularly parents; a policy commitment by the governing board of education.

Institutionalization might involve the same Producer School and Linker. They might be requested to assist with expanding the practice within the district and helping to test and install it.

It may be that sufficient capability has been built in the Consumer School during the initial trial test to demonstrate self-renewal activities by conducting its own trial and installation activities. Hopefully, this would be the case, and the Consumer School might become a Producer School that would serve consumer

clients both within and outside its geographic area. As the process begins to repeat itself, a "ripple effect" results in the educational community. The resources initially required from governmental agencies could become less as private enterprise moves in with its profit motive to capitalize on what has been generated.

VII. Performers, Roles, Functions of Roles and Functional Activities

The following section will attempt to mix in the elements of functions of roles in more depth. To review, the functions of roles as shown in the previous section of this handbook are: policy, production, participation and monitoring.

For purpose of this discussion, let's examine Example No. 3 in Part V of this section: the Performers, Role Assumption and Role Function.

(See page 30.)

- The Policy Role Function, if established, may shift midstream, for example, during the pre-training for trial field test. The Linker who has agreed with the Producer in Policy (1, 2; 4-A) to share in Participation (2;4-C), "bailed out" for some reason. The Producer is left holding the bag for all these training sessions that are scheduled for the balance of the year.

- The Production Role Function was agreed upon by the Producer and Linker: each would produce specified products (1, 2;4-B). Unfortunately, the Producer did not have the products ready for Participation (1, 2;4-C) in the Educational Fair (an awareness/interest activity). This left the Linker with substitute products, hurriedly gathered and produced.

- The Producer and Linker agreed that they would participate together in the implementation of Functional Activities (1, 2; 4-C). Under Technical Assistance, the Linker was to make a presentation to an influential community group for which the Producer was to have teachers available for answers to questions from the group and to have the district superintendent and the governing board chairman available for comments. As it turned out, the Linker never showed for the presentation and, instead, he sent a substitute who knew a lot about the linkage program but very little about the practice that was being adopted. The practice, although successfully trial field tested, was postponed for adoption. After a year, observers reported that the installation was still in "limbo."

- The Producer and Linker were to monitor activities independently (1, 2; 4-D). The Producer claimed his traveling seminar performances were fantastic; the Linker said, "I'm not so sure." The Demonstrations were agreed to be O.K., but the Producer didn't want the Linker "in the way." During one of the pre-training seminars for trial field test the Producer and Linker could not come to agreement on a point of policy and the participants became "turned off" with the practice. During technical assistance activities, the Producer's representative didn't show and the Linker had to conduct inservice training for the Consumer staff. (Unfortunately, he didn't know all the nitty-gritties.)

  When the reader mixes in the possible "hang-ups" that could also occur between the Linker/Consumer School and the Consumer/Producer, the plot thickens. A great deal of thought and consideration should be given to the kinds of relationships that might be established. Hopefully, the products of such thinking will be more fruitful than the examples cited above.

VIII. Involvement Expectations in Potential Relationships

In the process of putting it all together, the reader should consider expectation levels of performance within the Producer Role, the Linker Role and the Consumer Role. A cube design with several grid levels that depict the potential mix of expectations of the roles of producers and linkers and the assumptions about the responsibility of the performers is shown in Figure 2. A similar design might also be

FIGURE 2

PRODUCER-LINKER ROLE: (SENDER ACTIVITIES)

INVOLEMENT EXPECTATIONS in a GRID of POTENTIAL RELATIONSHIPS . . .

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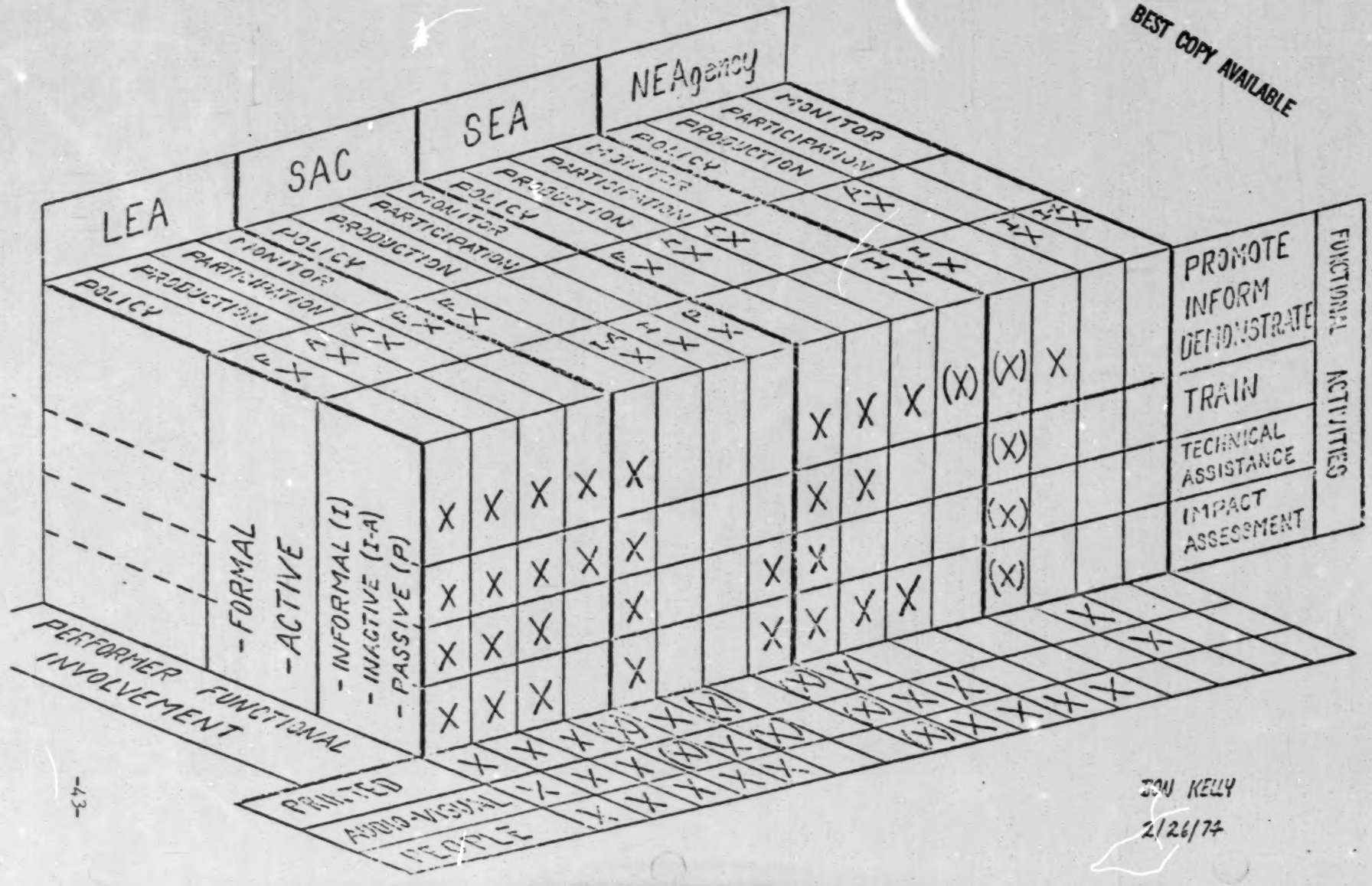

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2/26/74

constructed for the Linker-Consumer Roles to assist the performers in operational planning and implementation.

The "X" is used to pinpoint specific major areas of involvement for the performers.

The following example illustrates how the Producer-Linker cube might work; it should not be construed as a mandate, only possible direction. Local circumstances will determine which elements will be selected and how much emphasis will be given.

The LEA assumes the role of the Primary Producer; the Role Functions are formal or active, most functional activities are addressed and the task functional activity is extensive.

- The SAC establishes a formal policy for all the functional activities, including task functional activities. The production function is inactive, the participation function is informal, and the monitoring function passive but particularly focused upon technical assistance and impact assessment activities. The SAC is somewhat involved with monitoring the task functional activities.

- The SEA assumes the role of Secondary Producer; the role functions are formal and active except for monitoring which is informal. Involvement in functional activities is heavy at the promote, inform and demonstration level; is less so at the staff training level, less at the technical assistance level, and heavy at the impact assessment level. The involvement in Task functional activities varies from that of the Primary Producer (LEA) but compliments where strength may be needed.

- A national educational agency establishes informal policy; is actively involved in the production of printed and audio-visual materials for the promote, inform and demonstration level; is informally involved in all the functional and task functional activities as needed; is inactive in monitoring.

IX. Task Functional Activities (Senders directed toward Receivers)

The following lists a variety of task-oriented functional activities. The lists do not include all the possibilities that are available. These task activities are suggestions; a list from which selections might be made to fit into the Producer-Linker Role Grid (Figure 2). This handbook will not go into the details of Role Function/Task Functional activities (how the products or activities are planned, developed and produced: end-products) because much direction is available in these areas.

The Task Functional Activities basically fall into three categories or areas: Printed, Audiovisual and People.

Printed (Production/Utilization of)

- Brochures and pamphlets
- Monographs
- Booklets
- Guidebooks/Handbooks/Resource Books
- Articles for magazines and journals
- News releases
- Radio/Television scriptwriting
- Reports

Audiovisual (Production/Utilization of)

- Slide/tapes (manual/automatic synchronized)
- Filmstrip/disc record/tapes (manual/automatic synchronized)
- Films: (color; synch sound or sound over) 15 mm -- 8 mm (standard or super)
- Television formats: (black and white or color)
- 2 inch quadraplex (high/low bank): ETV or commercial broadcasts
- 2 inch helical: ETV or commercial broadcasts
- 1 inch helical
- 1/2 inch helical

- Posters
- Disc recordings
- Magnetic tape recordings (reel to reel or cassette)
- Radio broadcast

People

Involvement in conduct of developing and setting policy, producing materials, providing services, participating and monitoring the following:

- Radio/television appearances
- Printed and audiovisual utilization
- Educational fairs
- Traveling seminars
- Conference presentations
- Secondary awareness presentations
- Visitation demonstrations
- Preservice and inservice training
- Consulting:

  --Needs assessment, problem-solving/trouble shooting
  --Facilitating, assisting, helping, enabling behaviors (active/passive)
  --Planning, developing, implementing, coordinating (active/passive)
  --Communication with selected audiences
  --Clarifying, analyzing, synthesizing, evaluating

- Reporting to the general public, the education community and decision makers

Some Operational Suggestions

- Often, awareness level messages must be sent about awareness level activities. To cite an obvious example: A traveling seminar that presents several proven practices might be designed, planned and developed. Before the traveling seminar is conducted, a variety of messages will need to be sent through several

channels of communication to create an awareness about the presentations to be made at the seminar locations. This example also highlights possibilities of using unique mixes of printed, audiovisual and people resources.

- Encourage teacher education institutions to include, as a part of their curriculum, an awareness of proven practices; demonstration and training might be included.
- Conduct a survey to identify potential consumer schools.
- Initiate, participate in or conduct interaction activities among personnel from national, state and local agencies.
- Conduct longitudinal studies to determine at consumer school sites the impact of a proven practice upon the resolution of a learner oriented problem. The study might be conducted by a professional education association, a graduate student, a private firm, a national education agency, an SEA or LEA, or the State Advisory Council.

As shown above, many mixes are possible--the selection of task functional activities and products should be carefully considered in relation to local social context and influences. Decisions regarding all of the above, including utilization, rest with the performers and their unique relationships.

PUTTING IT ALL TOGETHER

The influence of ESEA Title III can now be observed as we begin to link together the preceding sections.

For years, project applications have required a problem-solving design. This design has been mentioned many times in preceding sections (See Appendix C). Essentially, this design is being spread through entire school districts and state educational systems. The design encourages self-actualized educational improvement; it promotes the building of capacity for change and reform. The products of the design implementation are in response to the social and educational contexts at the local and state level.

A four-part "delivery system" could help the reader get it all together. The four suggested parts are:

1. Local comprehensive program planning.
2. Resource allocation, including consolidated applications for federally funded categorical program funds.
3. Monitor and review.
4. Proven practices.

As the four parts of this cycle are carried out and repeated, the continued opportunity to improve education through the refinement of processes and products is provided. Also, the opportunity and responsibility to keep the education system in tune with the social environment at the local or state level is potentially assured.

The systematic problem-solving approach, such as the model by Roger Kaufman (See Appendix C), might serve as a master guide under which the four parts of the delivery system could function.

Briefly, Local Comprehensive Program Planning should redefine the goals and objectives followed by the school district. It should assure that needs have been identified; that critical problems have been identified and analyzed; that the requirements for a solution have been determined; and that alternative solutions to the problem have been sought. This is where the function of sharing successful practices should enter the system. What was discussed in the preceding section about the Producer-Linker-Consumer process should now come into play as proven practices are delivered to the schools that need them. This is the focus of the Producer-Linker-Consumer system: resolve problems that hinder progress or success for the learner. The proven practices should be offered to LEA's as alternative solutions to the problems they have identified.

When a proven practice has been selected for trial, the next step is an Allocation of Resources. This could be accomplished by re-directing resources (people, time, materials); however, additional funds might be required. Through the consolidation of federally funded categorical program funds, sufficient resources might be directed to the area of need and specific problem ("rifling").

Monitoring and Reviewing are quality control functions designed to pinpoint weak spots in the implementation of the practice. Selected tactics (associated with the four strategies discussed in the section on Conceptual Framework) may be used to alleviate or resolve problems.

Example 1 — The Consumer School may request technical assistance from the Producer School (P-L-C Tactic; also a modification S-1: "The County Agent").

Example 2 — The Consumer School may engage in brainstorming, or T-group, or group observation and process analysis activities (P-S Tactic).

Example 3 — The Consumer School may make a second visit to the Producer demonstration site (P-L-C and RD& D Tactic).

Once a proven practice is selected by a consumer client through the local comprehensive program planning process, services and materials must be made available to the consumer or the practice will not be used widely. This is what the Producer-Linker-Consumer strategy and system (when implemented) are all about. As has been pointed out, the manner in which the P-L-C system is implemented will vary widely.

Observers report that one year of support for a Producer School in one state is insufficient, if the practice is a viable solution to a widespread problem. Two and often three years of support are required to begin to establish the practice in a state. Support may come from a variety of sources. A one-page diagram, "Diffusion Strategy," addresses this issue (See Appendix C) and might serve as a guide.

Inherent in the process of building capacity at the local school level to systematically improve the educational system so that it can better serve students is the dimension of a "healthy or unhealthy" organization. Increased attention is being directed toward the area of people interaction within the system. Several tactics associated with the P-S and S-I strategies address this critical area. In Appendix C, 22 characteristics of unhealthy and healthy organizations are provided. Periodically, these may be used in the system; insights about additional resource requirements could result. However, the educational system can be considered healthy only to the extent to which its capacity for improvement is related to successful performance of the functions involved in the comprehensive planning problem-solving approach (See Appendix C).

Finally, putting it all together may not be difficult conceptually, but it could be impossible practically. High-level decision makers must set policy if the total four-part "delivery system" is ever to be installed. Total commitment of the people involved is essential. The installation and maintenance of some kind of "delivery system" are necessary if proven practices are to be utilized to the fullest by the consumers, both those who know their needs and critical problems and those who don't know they have a problem.

DEFINITIONS OF TERMS

Adoption/Adaption -- the process of installing a practice or one of its component parts in a school district after it has been developed or tested in another district.

Awareness -- exposure to an innovation, with no guarantee of complete information. Awareness seeks to motivate an individual to request further information. The primary function of the awareness step is to initiate the sequence of later stages that lead to eventual adoption or rejection of a practice.

Conceptual Framework -- a set of mutually consistent dimensions interrelated by logic, based in fact, and ordered by systematic levels of generality.

Construct -- one or more concepts (abstractions from reality) interrelated by common characteristics as defined by the purpose of the framework.

Consumer School -- a school which meets identified needs by adopting/adapting a validated practice from a producer school. The school has need of alternative solutions to educational problems, actively seeks solutions, and ultimately adopts/adapts a selected solution.

Communications -- the act of sending cued messages to identified audiences about validated practices for the purpose of creating educational change.

Demonstrations -- a live or role playing account of one or more components of a project or for observation by identified audience participants.

Diffusion -- the process by which a validated practice or a solution to a problem is spread from the field test to its ultimate users or adopters. Diffusion involves the following levels: awareness/interest and evaluation, trial, installation and institutionalization. Diffusion is a much larger concept than dissemination and requires more planning and greater allocation of resources to be effective.

Diffusion Process -- acceptance over time of some specific item -- an idea or practice -- by individuals, groups or other adopting units, linked to specific channels of communication, to a social structure, and to a given system of values or culture.

Diffusion Strategy -- a unique set of mutually consistent techniques used to influence the acceptance of an innovation by a target user system.

Dissemination -- the act of creating an awareness of and interest in selected projects (validated practices that are solutions to needs or problems) among identified audiences. Activities might include the conduct of educational fairs and conferences, the production and distribution of printed and audiovisual materials and personal communication.

Educational fair -- an exposition or conference featuring validated, exemplary educational practices. Sometimes shortened to "ed fair."

Exemplary -- a practice that has been validated by an on-site visit of experts who certify that it meets three criteria: 1) effectiveness/success, 2) cost and 3) exportability. The practice can be recommended as a model for replication.

Exportability -- the extent to which a solution to a critical problem identified by potential consumers demonstrates relative advantage over present instructional programs: is economically feasible, replicable, adaptable, communicable, effective and available.

Innovative -- original, uncommon or creative.

Innovation -- a research based educational product perceived as new by a user.

Institutionalization -- to become a part of the internal structure of an organization.

Linker -- a person, group or agency that encourages and facilitates interpersonal relationships between producer schools and consumer schools. The linker may assist the producer with the development of materials and the conduct of a variety of functional activities, the linker may assist consumer schools in refining their needs assessment and identifying critical causative problems as well as securing alternative solutions pursuant to (learner) problems.

Producer- Consumer School Brokerage -- a system of active encouragement of adoption/adaption of identified, validated practices by the U.S. Office of Education and the state education agencies through development of linkages between demonstration schools and potential consumer schools.

Producer School -- a school with a validated practice that has been established as a demonstration site. A school that has completed successful field testing of a project; has validated evaluation results; has a product that is potentially exportable to other schools; and one that has been provided the resources required to promote replication in other schools.

Theory -- a set of interrelated concepts, definitions, and propositions that represents a systematic view of phenomena by specifying relations among variables, with the purpose of explaining and predicting the phenomena.

Validation -- a process of reviewing a practice to verify its credibility as an exemplary practice through official or expert appraisal on a project site.

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1. Havelock, Ronald G. The Change Agent's Guide to Innovation in Education, Englewood Cliffs, N. J.: Educational Technology Publications, Inc.; 1973, 279 pp.

2. Rogers, Everett M. and Svenning, Lynn, Managing Change, San Mateo, Calif.: OPERATION PEP, San Mateo County Superintendent of Schools; 1969, 94 pp.

APPENDIX A

POLICY AND LEGAL IMPLICATIONS

FOR ESEA, TITLE III

NOTE: Contents to be considered at the April conference and later dates.

APPENDIX B

DISSEMINATION/DIFFUSION MODELS, GUIDES AND TOOLS AVAILABLE FROM STATES: A RESOURCE GUIDE

NOTE: A suggested format is included. At the April conference, state involvement will be solicited.

CALIFORNIA STATE DEPARTMENT OF EDUCATION

721 Capitol Mall

Sacramento, California 95814

Contact: Don Kelly

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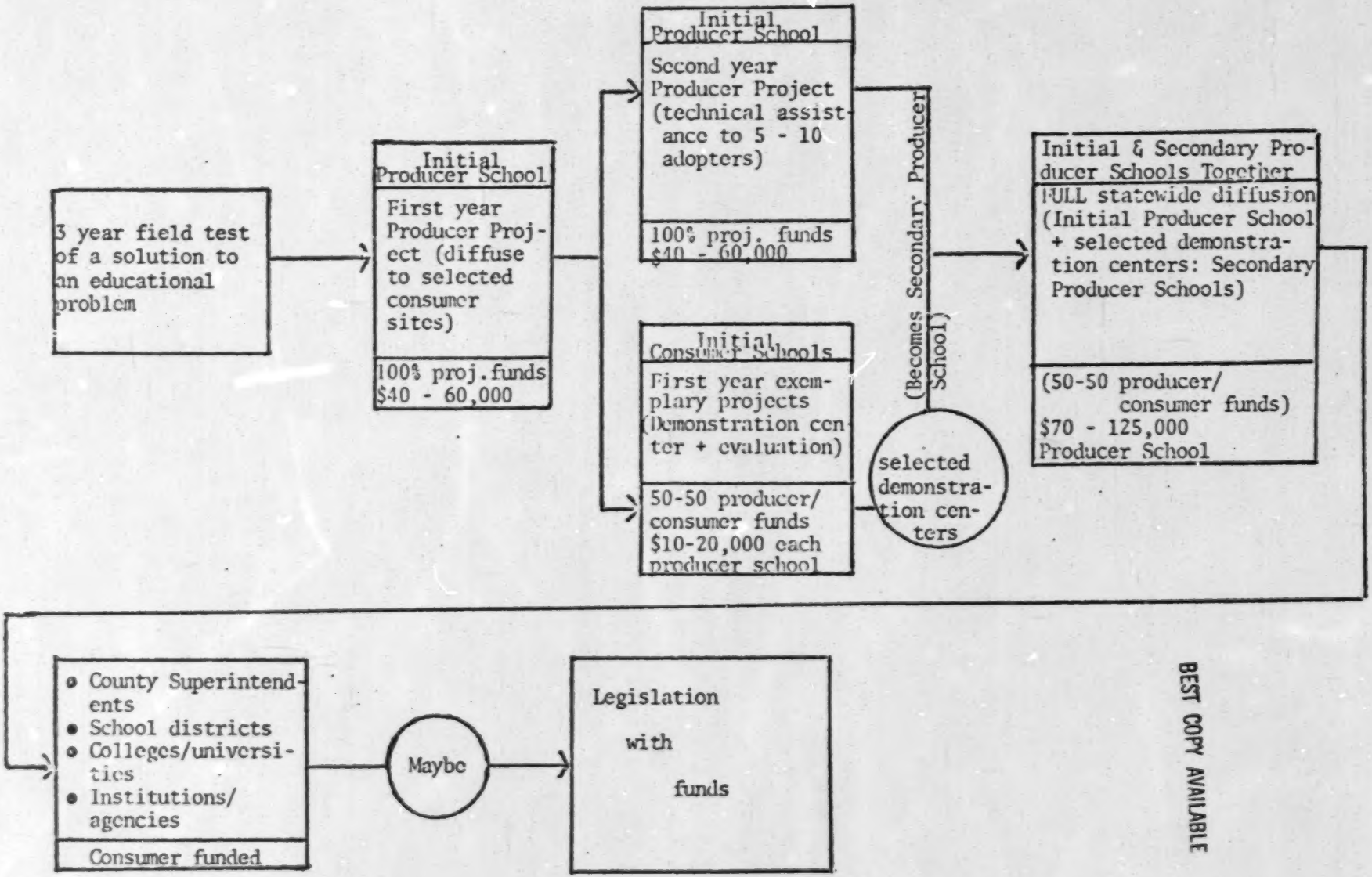
WHAT IS AVAILABLE:

- Conceptual diagrams about the producer/consumer/linkage process; limited narrative explanation.
- Linear diagram that outlines the major steps required to operate a producer/consumer/linkage system; role/activity diagrams included.
- Producer school quantity impact reporting system. (Quality impact reporting system is being developed.)
- Agenda for Producer School Director's Diffusion Seminar: an initial change/training program for new diffusers.
- Sample Producer School (Incentive Grant) project: lists objectives, activities and evaluation specifications.
- Definition of terms and a list of assumptions upon which the present system was built; a brief list of change indicators.
- Limited consulting service.
- Awareness level brochures about producer schools.

DIFFUSION STRATEGY: Producer School


3 year field test of a solution to an educational problem
Initial Producer School
First year Producer Project (diffuse to selected consumer sites)
100% proj.funds $40 - 60,000
Initial Producer School
Second year Producer Project (technical assistance to 5 - 10 adopters)
100% proj. funds $40 - 60,000
Initial Consumer Schools
First year exemplary projects (Demonstration center + evaluation)
50-50 producer/ consumer funds $10-20,000 each producer school
selected demonstration centers
(Becomes Secondary Producer School)
Initial & Secondary Producer Schools Together
FULL statewide diffusion (Initial Producer School + selected demonstration centers: Secondary Producer Schools)
(50-50 producer/ consumer funds)
$70 - 125,000
Producer School
• County Superintendents
• School districts
• Colleges/universities
• Institutions/ agencies
Consumer funded
Maybe
Legislation with funds

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APPENDIX C

SOME GUIDELINE TOOLS

APPENDIX C: TOOLS

A SYSTEM APPROACH: A SIX STEP PROCESS FOR IDENTIFYING AND RESOLVING PROBLEMS

Source: Roger A. Kaufman, U.S. International University, San Diego, California.

Function	Product
1.0 Identify problem (from needs)	• List and document the gaps between current outcomes and required outcomes for learners, educators, and community. • Obtain concurrence of all partners. • List gaps (needs) in priority order. • Select problem(s) to be resolved.
2.0 Determine solution requirements and solution alternatives	• Determine the management plan (mission profile) for meeting the need. • Identify function and tasks to be completed in order to achieve the mission (regardless of how to complete the functions and tasks). • Determine the possible methods and means to achieve each function and task and list the advantages and disadvantages of each. • Determine the feasibility of each function and task by identifying and reconciling constraints.
3.0 Select solution strategy(ies) from among	• Select the most effective and efficient methods and means to complete each function and task. • Assure that all the parts of the system will interrelate properly.
4.0 Implement solution strategy(ies)	• Design, build and implement: INSTRUCTION MANAGEMENT EVALUATION • Continually monitor progress and make necessary changes.

Function	Product
5.0 Determine performance effectiveness	• Determine requirements that were met and not met.
	• Determine required changes.
	• Determine what is to be maintained.
	• Make results known (audit report).
6.0 Revise as required	• Determine requirement to be changed.
	• Determine methods-means to be changed.
	• Make required changes.

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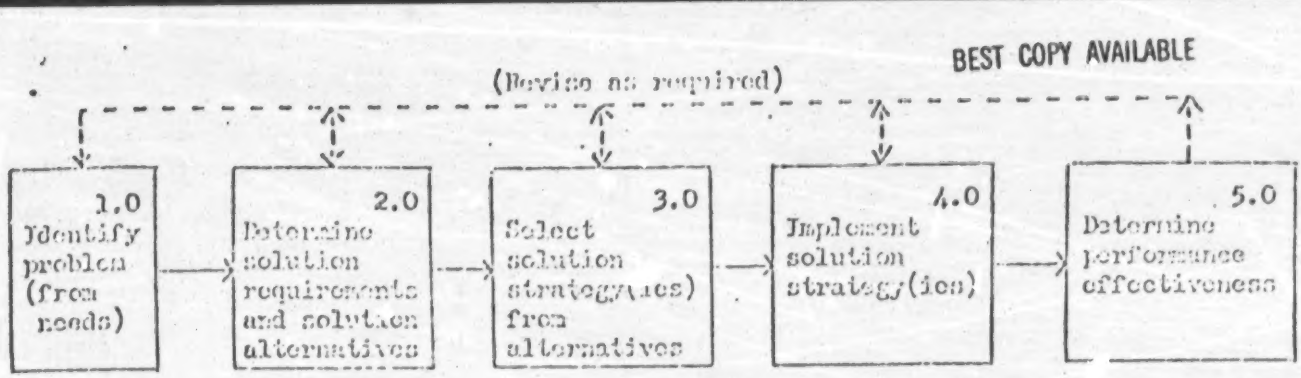
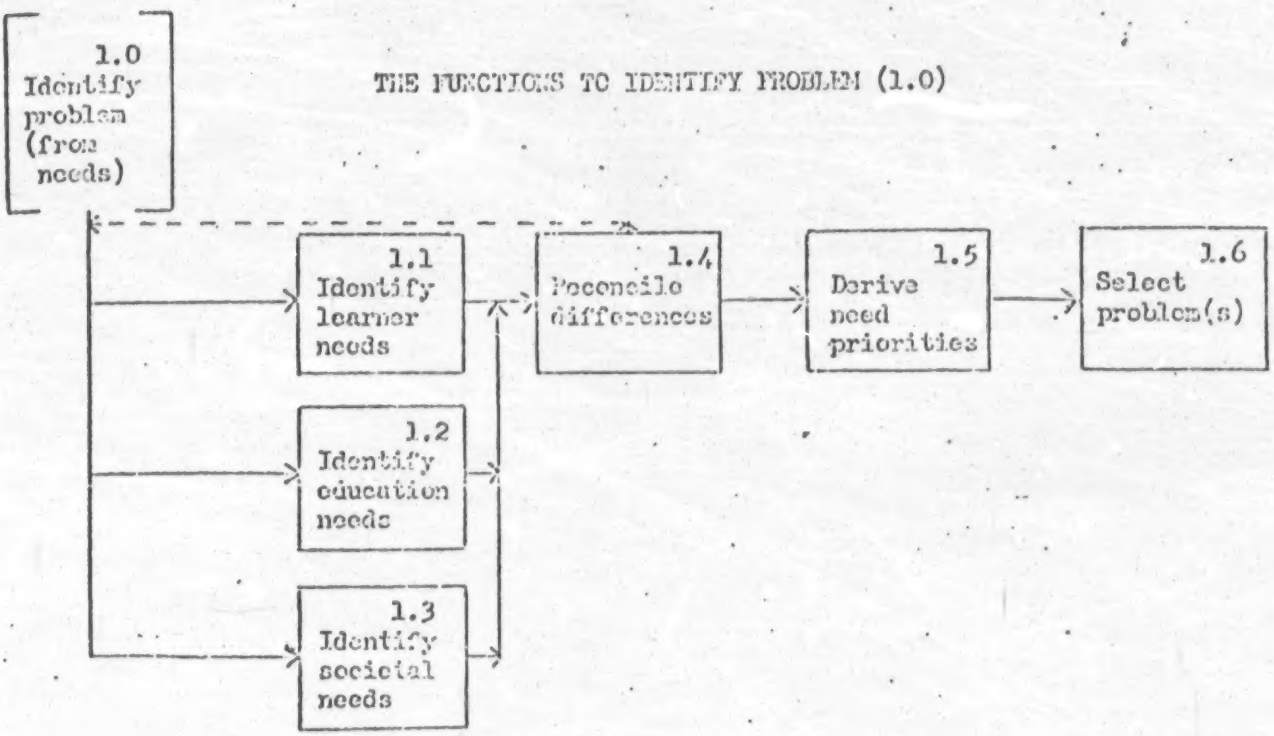
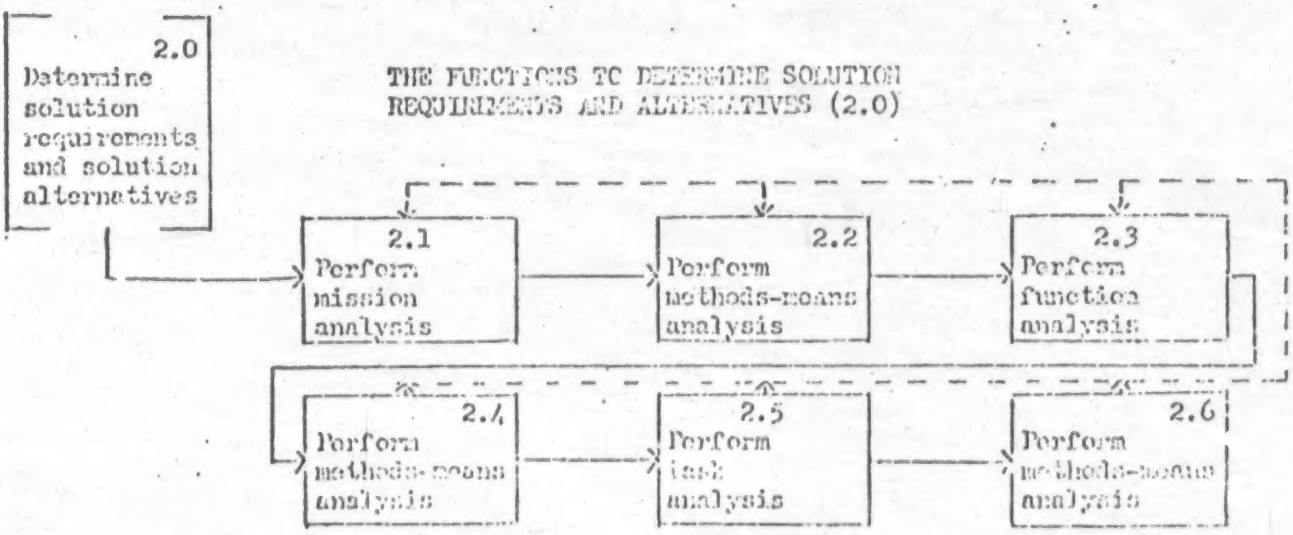

(Revise as required)
1.0 Identify problem (from needs)
2.0 Determine solution requirements and solution alternatives
3.0 Select solution strategy(ies) from alternatives
4.0 Implement solution strategy(ies)
5.0 Determine performance effectiveness

THE FUNCTIONS TO IDENTIFY PROBLEM (1.0)



THE FUNCTIONS TO DETERMINE SOLUTION REQUIREMENTS AND ALTERNATIVES (2.0)


2.0 Determine solution requirements and solution alternatives
2.1 Perform mission analysis
2.2 Perform methods-means analysis
2.3 Perform function analysis
2.4 Perform methods-means analysis
2.5 Perform task analysis
2.6 Perform methods-means analysis

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Select solution strategies from alternatives

THE FUNCTIONS FOR SELECTION OF SOLUTION STRATEGIES (3.0)

- 3.1 Determine selection criteria
- 3.2 List alternatives in order of costs and benefits
- 3.3 Select the methods and means for each requirement

4.0 Implement solution strategies

THE FUNCTIONS FOR IMPLEMENTATION OF SOLUTION STRATEGIES (4.0)

- 4.1 Make/buy/obtain methods and means
- 4.2 Determine evaluation plans and procedures
- 4.3 Schedule resources and facilities
- 4.4 Implement the methods and means
- 4.5 Make required in-process changes

5.0 Determine performance effectiveness

THE FUNCTIONS TO DETERMINE PERFORMANCE EFFECTIVENESS (5.0)

- 5.1 Obtain performance data
- 5.2 Reduce/ summarize data
- 5.3 Determine requirements and needs met
- 5.4 Determine requirements & needs un-met
- 5.5 Determine change requirements
- 5.6 Determine maintenance requirements
- 5.7 List results (audit)

6.0 Revise as required

THE FUNCTIONS TO REVISE AS REQUIRED (6.0)

- 6.1 Identify requirements to be changed
- 6.2 Determine methods-means to be changed
- 6.3 Determine change procedures
- 6.4 Make necessary changes
- 6.5 Confirm change consistency and inter-relations

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PLANNING TIPS

1. Think in terms of results, not procedures.
2. Always ask "What's in it for the learners?"
3. Involve all educational partners: the learner, the educator, and the community.
4. Remember that measurability IS NOT validity.
5. Be open to new ideas, new concepts, and new ways of looking at things.
6. Be ready to change, and be willing to change.
7. Don't select solutions (ways of doing things) before you know WHAT results must be achieved.
8. Commit your plans on paper and let them be reviewed and critiqued by others.

MEASURABLE OBJECTIVES

1. State the required result or outcome.
2. State the condition under which the outcome is to be observed.
3. State the criteria to be used to determine success or failure.
4. State who or what is to display the required behavior or result.
5. State the objective so that there is no room for interpretation.

This information was taken from the following source:

Book Title: MANAGING WITH PEOPLE: A Manager's Handbook of Organization Development Methods

Authors: Jack K. Fordyce, Organization Development Consultant
and
Raymond Weil, TRW Systems Group, Redondo Beach, Calif.

Publisher: Addison-Wesley Publishing Company (1971)
Reading, Massachusetts

Section of Book: Part One: Move Over!
Chapter One: What's Going On?
Section Three: A symptomatology of organizational illness and health

Pages: 11 thru 14

SOME CHARACTERISTICS OF UNHEALTHY AND HEALTHY ORGANIZATIONS

UNHEALTHY	HEALTHY*
1. Little personal investment in organizational objectives except at top levels.	1. Objectives are widely shared by the members and there is a strong and consistent flow of energy toward those objectives.
2. People in the organization see things going wrong and do nothing about it. Nobody volunteers. Mistakes and problems are habitually hidden or shelved. People talk about office troubles at home or in the halls, not with those involved.	2. People feel free to signal their awareness of difficulties because they expect the problems to be dealt with and they are optimistic that they can be solved.
3. Extraneous factors complicate problem-solving. Status and boxes on the organization chart are more important than solving the problem. There is an excessive concern with management as a customer, instead of the real customer. People treat each other in a formal and polite manner that masks issues--especially with the boss. Nonconformity is frowned upon.	3. Problem-solving is highly progmatic. In attacking problems, people work informally and are not preoccupied with status, territory, or second-guessing "what higher management will think". The boss is frequently challenged. A great deal of nonconforming behavior is tolerated.

* The description of a healthy organization may appear millennialistic. It is perhaps more a statement of direction than a state that has been achieved by any known organization.

UNHEALTHY	HEALTHY
4. People at the top try to control as many decisions as possible. They become bottlenecks, and make decisions with inadequate information and advice. People complain about managers' irrational decisions.	4. The points of decision-making are determined by such factors as ability, sense of responsibility, availability of information, work load, timing, and requirements for professional and management development. Organizational level as such is not considered a factor.
5. Managers feel alone in trying to get things done. Somehow orders, policies, and procedures don't get carried out as intended.	5. There is a noticeable sense of team plan in planning, in performance, and in discipline--in short, a sharing of responsibility.
6. The judgment of people lower down in the organization is not respected outside the narrow limits of their jobs.	6. The judgment of people lower down in the organization is respected.
7. Personal needs and feelings are side issues.	7. The range of problems tackled includes personal needs and human relationships.
8. People compete when they need to collaborate. They are very jealous of their area of responsibility. Seeking or accepting help is felt to be a sign of weakness. Offering help is unthought of. They distrust each other's motives and speak poorly of one another; the manager tolerates this.	8. Collaboration is freely entered into. People readily request the help of others and are willing to give in turn. Ways of helping one another are highly developed. Individuals and groups compete with one another but they do so fairly and in the direction of a shared goal.
9. When there is a crisis, people withdraw or start blaming one another.	9. When there is a crisis, the people quickly band together in work until the crisis departs.
10. Conflict is mostly covert and managed by office politics and other games, or there are interminable and irreconcilable arguments.	10. Conflicts are considered important to decision making and personal growth. They are dealt with effectively, in the open. People say what they want and expect others to do the same.
11. Learning is difficult. People don't approach their peers to learn from them, but have to learn by their own mistakes; they reject the experience of others. They get little feedback on performance, and much of that is not helpful.	11. There is a great deal of on-the-job learning based on a willingness to give, seek, and use feedback and advice. People see themselves and others as capable of significant personal development and growth.

APPENDIX D

NATIONAL PROFILE OF SEA

DISSEMINATION/DIFFUSION ACTIVITIES